

Receipt

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CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. §1.8

I hereby certify that this Request for Correction of Filing Receipt Data is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington D.C. 20231, on:

#2

Date: 8/30/00 By: Michelle Brown



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant:: Richard M. Libman  
Serial No.: 09/592,086  
Title: APPARATUS FOR PREPARING  
CLIENT COMMUNICATIONS  
INVOLVING FINANCIAL  
PRODUCTS AND SERVICES

Docket No.: 23651.0536  
Filed: June 12, 2000

FIRST REQUEST FOR CORRECTION OF FILING RECEIPT DATA

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

Thank you for the "Filing Receipt" in the above-identified provisional patent application. Please correct the error in the title and the Attorney Docket No. of the application. A copy of the Filing Receipt with the requested corrections noted thereon is enclosed.

The correct Attorney Docket No. of the application is:

23651.0536

Further, the title of the application should be corrected to read as follows:


Apparatus for preparing client communications involving financial products and services

With the requested correction, the Filing Receipt will agree with the patent application as filed. We look forward to receiving a corrected Filing Receipt for this application.

If you should have any questions, please do not hesitate to contact the undersigned at the telephone number listed below.

Respectfully submitted,

Dated: 8/30/00

By   
Deborah K. Henscheid, Reg. No. 35,940

**Snell & Wilmer L.L.P.**  
One Arizona Center  
400 East Van Buren  
Phoenix, AZ 85004-2202  
(602) 382-6506

## FILING RECEIPT



\*OC00000005302938\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	RECEIVED	CLAIMS	IND. CLAIMS
09/592,086	06/12/2000	2761	345	23651.0517	25 AUG 29 2000		1

*DHL*  
Snell & Wilmer LLP  
One Arizona Center  
400 E Van Buren  
Phoenix, AZ 85004



SNELL &amp; WILMER

Date Mailed: 08/07/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Richard Marc Libman, Scottsdale, AZ ; ✓

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CON OF 08/834,240 04/15/1997 PAT 6,076,072 ✓  
WHICH IS A CIP OF 08/661,004 06/10/1996 PAT 5,987,434 ✓

## Foreign Applications

If Required, Foreign Filing License Granted 08/07/2000

\*\* SMALL ENTITY \*\*

## Title

*Apparatus*  
~~Method and~~ Apparatus for preparing client communications involving financial products and services

## Preliminary Class

705

Data entry by : IBRAHIM, ADILA

Team : OIPE

Date: 08/07/2000



*Notice of receipt. Corrected due 9-8-00*



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Cod of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

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